

10269-20CON
(HSX/001 CON5)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Timothy Maxwell Keiser, et al.

Application No. : 10/655,409 Confirmation No. : 6575

Filed : September 4, 2003

For : COMPUTER-IMPLEMENTED SECURITIES
TRADING SYSTEM WITH A VIRTUAL
SPECIALIST FUNCTION

Group Art Unit : 3623

Examiner : Not Yet Assigned

New York, New York 10020
June 2, 2004Hon. Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with 37 C.F.R. §§ 1.56 and 1.97, applicants hereby make the documents listed in Appendices A, B, C, D, E, F, G, H, I, J and K attached hereto of record in the above-identified patent application.

Documents in Appendix A, which are listed on the accompanying Form PTO-1449 (submitted in duplicate), were originally submitted on April 11, 1996, and are of record, in parent U.S. Patent Application No. 08/620,906, filed March 25, 1996, which issued as Patent No. 5,950,176 on September 7, 1999, from which priority is claimed.

Documents in Appendix B, which are listed on the accompanying Form PTO-1449 (submitted in duplicate), were originally cited on April 22, 1998, and are of record, in parent U.S. Patent Application No. 08/620,906, filed March 25, 1996, which issued as Patent No. 5,950,176 on September 7, 1999, from which priority is claimed.

Documents in Appendix C, which are listed on the accompanying Form PTO-1449 (submitted in duplicate), were originally cited on June 7, 1999, and are of record, in parent U.S. Patent Application No. 08/620,906, filed March 25, 1996, which issued as Patent No. 5,950,176 on September 7, 1999, from which priority is claimed.

Documents in Appendix D, which are listed on the accompanying Form PTO-1449 (submitted in duplicate), were originally submitted on July 6, 2000, and are of record in parent U.S. Patent Application No. 09/465,607, filed December 17, 1999, from which priority is claimed.

Documents in Appendix E, which are listed on the accompanying Form PTO-1449 (submitted in duplicate), were originally cited on September 12, 2001, and June 25, 2002, and are of record, in parent U.S. Patent Application No. 09/465,607, filed December 17, 1999, from which priority is claimed.

Documents in Appendix F, which are listed on the accompanying Form PTO-1449 (submitted in duplicate), were originally submitted on January 23, 2002, and are of record, in parent U.S. Patent Application No. 09/184,571, filed November 2, 1998, which issued as Patent No. 6,505,174 on January 7, 2003, from which priority is claimed.

Documents in Appendix G, which are listed on the accompanying Form PTO-1449 (submitted in duplicate), were originally cited on August 2, 2002, and are of record, in parent U.S. Patent Application No. 09/184,571, filed November 2, 1998, which issued as Patent No. 6,505,174 on January 7, 2003, from which priority is claimed.

Documents in Appendix H, which are listed on the accompanying Form PTO-1449 (submitted in duplicate), were originally cited on December 1, 1998, and are of record, in parent U.S. Patent Application No. 08/620,906, filed March 25, 1996, which issued as Patent No. 5,950,176 on September 7, 1999, from which priority is claimed.

Documents in Appendix I, which are listed on the accompanying Form PTO-1449 (submitted in duplicate), were originally submitted on October 25, 2002, and are of record in, parent U.S. Patent Application No. 09/465,607, filed December 17, 1999, from which priority is claimed.

Documents in Appendix J, which are listed on the accompanying Form PTO-1449 (submitted in duplicate), were originally submitted on May 12, 2004, and are of record, in parent U.S. Patent Application No. 09/465,607, filed December 17, 1999, from which priority is claimed.

Documents in Appendix K, which are listed on the accompanying Form PTO-1449 (submitted in duplicate), were originally submitted on June 1, 2004, and are of record, in parent U.S. Patent Application No. 09/465,607, filed December 17, 1999, from which priority is claimed.

Accordingly, pursuant to 37 C.F.R. § 1.98(d), copies of documents in appendices A-K are not provided.

Applicants believe that no fee is due at this time because this Statement is being submitted before the mailing of a First Office Action on the merits. See 37 C.F.R.

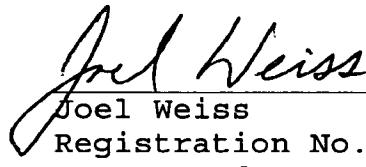
§ 1.97(b)(3). However, if any fee is due in connection with this Information Disclosure Statement, the Director is hereby authorized to charge payment of any additional fees required in connection with this Information Disclosure Statement to Deposit Account No. 06-1075. A duplicate copy of this Information Disclosure Statement is enclosed herewith.

It is respectfully requested that these documents be (1) fully considered by the Patent and Trademark Office during examination of this application; and (2) printed on any patent which may issue on this application.

Applicants request that a copy of Form PTO-1449, as considered and initialed by the Examiner, be returned with the next communication.

Consideration of the foregoing in relation to this patent application is respectfully requested.

Respectfully submitted,

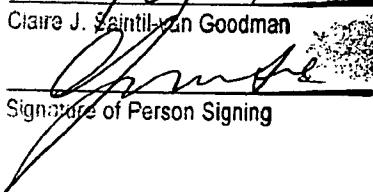


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Claire J. Saintil-van Goodman

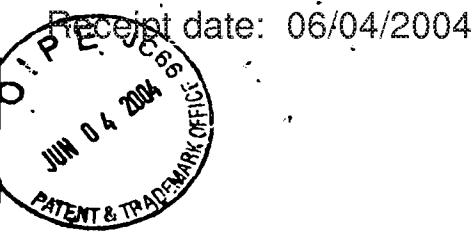

Signature of Person Signing



APPENDIX A

U.S. Patent Documents

3,499,646	03/10/1970	Burgess, Jr. et al.
4,597,046	06/24/1986	Musmanno et al.
5,270,922	12/14/1993	Higgins
5,297,032	03/22/1994	Trojan et al.
4,674,044	06/16/1987	Kalmus et al.



Receipt date: 06/04/2004

10655409 - GAU: 3696

APPENDIX B

U.S. Patent Documents

3,573,747	04/6/1971	Adams, C. et al.
4,903,201	02/20/1990	Wagner, S.
4,980,826	12/25/1990	Wagner, S.
5,508,913	04/16/1996	Yamamoto, K. et al.
5,692,233	11/25/1997	Garman, M.
5,727,165	03/10/1998	Ordish, C. et al.
3,581,072	05/25/1971	Nymeyer, F.
4,412,287	10/25/1983	Braddock, III, W.
5,077,665	12/31/1991	Silverman, D. et al.
5,101,353	03/31/1992	Lupien, W. et al.
5,136,501	08/04/1992	Silverman, D. et al.
5,557,517	09/17/1996	Daughterty, III, V.
5,689,652	11/18/1997	Lupien, W. et al.

**APPENDIX C****U.S. Patent Documents**

5,375,055	12/20/1994	Togher et al.
5,905,974	05/18/1999	Fraser et al.

**APPENDIX D****U.S. Patent Documents**

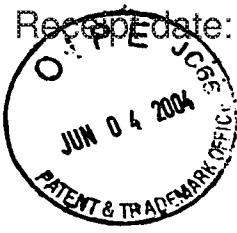
4,823,265	04/18/1989	Nelson
5,497,317	03/05/1996	Hawkins, et al.
5,819,238	10/06/1998	Fernholz
5,950,176	09/07/1999	Keiser et al.
6,012,046	01/04/2000	Lupien, et al.
6,016,483	01/18/2000	Rickard, et al.

Other Documents

"A New Craze for March's Maddest: Online 'Trading' of NCAA Shares", Barbara Martinez, The New York Times Company: Abstracts, March 8, 1994.

Received: 06/04/2004

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APPENDIX E

U.S. Patent Documents

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Hunt et al.

APPENDIX FU.S. Patent Documents

5,924,082	07/13/1999	Silverman et al.
6,014,643	01/11/2000	Minton
6,029,146	02/22/2000	Hawkins, et al.

APPENDIX GForeign Patent Documents

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APPENDIX H
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Freund, William C. "Trading stock around the clock: the future growth of global electronic markets," *California Management Review*, v. 34, n. 1, pg. 87, 1991.

Hakansson, Nils H. et al. "On the feasibility of automated market making by a programmed specialist," *Journal of Finance*, vol. XL, no. 1, pgs. 1-20, 3/85.

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Insider Trading - Hollywood Style, Entrepreneurial Edge Online, OnlinePress.com, Matthew Ragas, February 4, 1998, 3 pgs.

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5,537,314	07/16/1996	Kanter
5,826,241	10/20/1998	Stein, et al.
5,913,203	06/15/1999	Wong, et al.
5,845,266	12/01/1998	Lupien et al.
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FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. 10269-20CON (HSX/001CON5)	APPLN. NO. 10/655,409
INFORMATION DISCLOSURE STATEMENT BY APPLICANT		APPLICANTS Timothy Maxwell Keiser, et al.	CONF. NO. 6575
		FILING DATE September 4, 2003	GROUP ART UNIT 3623

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PATENT & TRADEMARK OFFICE*

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EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	3,499,646	03/10/1970	Burgess, Jr. et al.	273	1	
	3,573,747	04/06/1971	Adams, C. et al.	340	172.5	
	3,581,072	05/25/1971	Nymeyer, F.	235	152	
	4,412,287	10/25/1983	Braddock, III, W.	364	408	
	4,597,046	06/24/1986	Musmanno et al.	364	408	
	4,674,044	06/16/1987	Kalmus et al.	364	408	
	4,823,265	04/18/1989	Nelson	364	408	
	4,903,201	02/20/1990	Wagner, S.	364	408	
	4,980,826	12/25/1990	Wagner, S.	364	408	
	5,077,665	12/31/1991	Silverman, D. et al.	364	408	
	5,101,353	03/31/1992	Lupien, W. et al.	364	408	
	5,136,501	08/04/1992	Silverman, D. et al.	364	408	
	5,237,500	08/17/1993	Perg, et al.	364	408	
	5,270,922	12/14/1993	Higgins	364	408	
	5,297,032	03/22/1994	Trojan et al.	364	408	
	5,375,055	12/20/1994	Togher et al.	364	408	
	5,497,317	03/05/1996	Hawkins, et al.	364	408	
	5,508,913	04/16/1996	Yamamoto, K. et al.	364	408	
	5,537,314	07/16/1996	Kanter	364	406	
	5,557,517	09/17/1996	Daughterty, III, V.	364	408	
	5,689,652	11/18/1997	Lupien, W. et al.	395	237	
	5,692,233	11/25/1997	Garman, M.	705	36	
	5,724,524	03/03/1998	Hunt et al.	395	237	
	5,727,165	03/10/1998	Ordish, C. et al.	395	237	
	5,819,238	10/06/1998	Fernholz	705	36	
	5,826,241	10/20/1998	Stein, et al.	705	26	
	5,905,974	05/18/1999	Fraser et al.	705	37	
	5,913,203	06/15/1999	Wong, et al.	705	39	
	5,845,266	12/01/1998	Lupien et al.	705	37	
	5,924,082	07/13/1999	Silverman et al.	705	37	
	5,950,176	09/07/1999	Keiser et al.	705	37	
	6,012,046	01/04/2000	Lupien, et al.	705	37	
	6,014,643	01/11/2000	Minton	705	37	
	6,016,483	01/18/2000	Rickard, et al.	705	37	

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	6,029,146	02/22/2000	Hawkins, et al.	705	35	
	6,578,010	06/10/2003	Teacherson	705	14	

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EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
	WO93/10503A1	5/27/1993	PCT				
	WO96/41315A1	12/19/1996	PCT				
	WO98/58333A1	12/23/1998	PCT				
	WO01/39056A1	05/31/2001	PCT				
	WO01/16825A1	03/08/2001	PCT				
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	Bloomfield, Robert. "The interdependence of reporting discretion and informational efficiency in laboratory markets," The Accounting Review, v. 71, pgs. 493-511, 10/96.
	Chan, K.C. et al. "Market structure and the intraday pattern of bid-ask spreads for NASDAQ securities," The Journal of Business, v. 68, n. 1, pg. 35, 1/95.
	Cones; 43 Ways to Finance Your Feature Film. 1995. pages 47 and 45.
	Cones, John W. and Wilke, Pete, "Investor Financing of Independent Film", 1998.
	"Digital Commerce on Increase", Publishing Technology Review, v2, n2, 1/95.
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	Jack Feuer: Disc Driven. Findarticles.com; July 12, 1999.
	Freund, William C. "Trading stock around the clock: the future growth of global electronic markets," California Management Review, v. 34, n. 1, pg. 87, 1991.
	Hakansson, Nils H. et al. "On the feasibility of automated market making by a programmed specialist," Journal of Finance, vol. XL, no. 1, pgs. 1-20, 3/85.

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Sheet 3 of 4

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PATENT AND TRADEMARK OFFICEINFORMATION DISCLOSURE
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OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER INITIAL	
	Saul Hansell, "Today, Shoppers on Internet Get Access to Electronic Cash", The New York Times, Section d, Page 4, Col. 5, 10/95.
	Howard, Barbara. "The trade: technology aims to take the final step," Institutional Investor, v. 24, n. 1, pg. S15, 1/91.
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	The Internet Bull Market in Movies, Newsweek, Yahlin Chang, February 3, 1997, pgs. 3.
	Peter H. Lewis, "Attention Internet Shoppers: E-Cash Is Here", The New York Times, Section D, Page 4, Col. 4, 10/94.
	Lights, Camera, Capital On-line Investing, Debra Kaufman, WIRED Magazine, May 2001, 1 sheet.
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	Nash, Kim S., "Cybercash at risk: Money laws lacking", Computerworld, 12/96.
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	The New York Times, The Hollywood Stock Market: You Can't Lose, Laura Pedersen-Pietersen, January 11, 1998, 3 pgs.
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	Michael Schrage, "Firms Quietly Forming Own Economies", San Jose Mercury News, 7/92.
	SunSpot Maryland's Online Community, Taking Stock at the Box Office, Alex Dubin, printed on 8/19/97, 5 pgs.
	VENTURA COUNTY REVIEW; The Los Angeles Times; Dec. 15, 1998.
	Ye, Jia, "An Investigation of Market Fragmentation and the Specialist's Quotation Strategy (Information Risk, Liquidity, Bid Ask Spread)", 1995, Volume 57/03-A of Dissertation Abstracts International, p. 1260, 97 pgs.
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	Astral Media The Harold Greenberg Fund's Equity Investment Program; 1992, http://www.tmn.ca/hgfund/pdf/fundEquityJune2002.pdf

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	Canadians turn to co-finance, pre-sales for TV prod'n coin. Findarticles.com, Jan. 19, 1998, http://www.findarticles.com/cf_0/m1312/n10_v369/20371093/print.jhtml
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